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PTO/SB/05 (12/97)

Approved for use through 09/30/00 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney docket No. 00-1006

Total Pages 26

First Named Inventor or Application Identifier

Ralph Spickermann

Express Mail Label No.

ET221866618US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☒ Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)
2. ☒ Specification [Total Pages 12]
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross Reference to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Microfiche Appendix
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 5]
4. Oath of Declaration [Total Pages 2]
a. ☐ Newly executed (original copy)
b. ☐ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of the oath of declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Copy
b. ☐ Paper Copy (identical to computer copy)
c. ☐ Statement verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

8. ☒ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure Statement (IDS)/PTO-1448 ☐ Copies of IDS Citations
12. ☐ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
14. ☐ Small Entity Statement filed in prior application. Status still proper and desired
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☒ Other. Certificate of Express Mailing

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☐ Continuation ☐ Reissue ☐ Continuation-in-part (CIP) of prior application No. _____

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

04/30/01
1c962 U.S. PTO

PATENT
00-1006

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
FEE TRANSMITTAL LETTER

April 30, 2001

The Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Transmitted herewith for filing is the patent application, including five (5) sheet(s) of drawing,
of inventor(s): Ralph Spickermann
for: Programmable Optical Vector Modulator and Method for Use in Coherent Optical
Communication

Applicant is a small entity ☐; large entity ☒

The filing fee for this application is calculated below:

FOR:	CLAIMS AS FILED	RATE	TOTAL
Basic Fee		\$ 710.00 =	\$ 710.00
Total Claims	20 - 20 = 0 times	\$ 18.00 =	\$ 0.00
Independent Claims	2 - 3 = 0 times	\$ 80.00 =	\$ 0.00
Multiple Dependent Claims	0 times	\$ 270.00 =	\$ 0.00
TOTAL FILING FEE			\$ 710.00
Assignment Recording Fee	1 times	\$ 40.00 =	\$ 40.00
TOTAL FEES			\$ 750.00

A cheque in the amount of \$ 750.00 is enclosed with this Application Transmittal Letter to
cover the filing fees. This form is submitted in duplicate.

Respectfully submitted



Kenneth W. Float
Reg. No. 29,233

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Ralph Spickermann : Date: April 30, 2001
Serial No. : Group Art Unit:
Filed: : Examiner:
For: Programmable Optical Vector Modulator and Method : Batch No.:
for Use in Coherent Optical Communication

**CERTIFICATE OF MAILING
UNDER 37 CFR 1.10**

The Commissioner of Patents and Trademarks
Washington, D.C. 20231

Sir:

Identification of Transmitted Papers

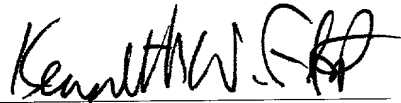
Utility Patent Application Transmittal form, patent application comprising eleven (11) pages plus a cover page, five (5) sheets of drawing, Combined Declaration and Power of Attorney form, Assignment for recording, Recordation form cover sheet (PTO-1595), form PTO-1449 and cover letter, Fee Transmittal Letter in duplicate, cheque in the amount of \$750.00, and return receipt postcard

CERTIFICATION OF EXPRESS MAIL DEPOSIT

"EXPRESS MAIL" MAILING LABEL NO. ET221866618US

DATE OF DEPOSIT -April 30, 2001

I hereby certify that the above-identified correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service, under 37 CFR 1.10, on the date indicated above and addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



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